



FORM PTO-1449 <b>U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE</b>  <b>INFORMATION DISCLOSURE CITATION</b>  (Use several sheets if necessary)	ATTY. DOCKET NO. <b>36287-04401</b>	SERIAL NO. <b>10/614,137</b>
	APPLICANT <b>Friedman et al.</b>	
	FILING DATE <b>July 7, 2003</b>	GROUP ART UNIT <b>3693</b>

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
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**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Papers, Etc.)

		Applications of random walkers to Stock Pricing, <a href="http://www.math.mit.edu/stocker/18354.d/financial.pdf">www.math.mit.edu/stocker/18354.d/financial.pdf</a> ; Spring 2004
		Transferable Stock Options: Compensation for the 21st Century, David A. Seaman, Workspan, May 2004, 47(5) pages 64-71
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		Transferable Stock Options (TSOs) and the Coming Revolution in Equity-Based Pay, Brian J. Hall, Journal of Applied Corporate Finance, Winter 2004 16(1)
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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<b>INFORMATION DISCLOSURE CITATION</b>				APPLICANT Friedman et al.			
(Use several sheets if necessary)				FILING DATE July 7, 2003		GROUP ART UNIT 3693	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
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			Statement 133 Implementation Issues, No. A17, FASB, May 1, 2003				
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